

PA IDC

QUERY CONTROL FORM			RTIS USE ONLY	
Application No. <u>101054,911</u>	Prepared by <u>N.H.</u>		Tracking Number <u>05884460</u>	
Examiner-GAU <u>Kim - 2874</u>	Date <u>1-29-04</u>	No. of queries <u>1</u>	Week Date <u>01/05/04</u>	<u>IFW</u>

JACKET					
a. Serial No.	f. Foreign Priority	k. Print Claim(s)	p. PTO-1449		
b. Applicant(s)	g. Disclaimer	l. Print Fig.	q. PTOL-85b		
c. Continuing Data	h. Microfiche Appendix	m. Searched Column	r. Abstract		
d. PCT	i. Title	n. PTO-270/328	s. Sheets/Figs		
e. Domestic Priority	j. Claims Allowed	o. PTO-892	t. Other		

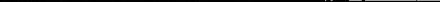
SPECIFICATION	MESSAGE									
	a. Page Missing	<u>PTO-1449: Please either initial or line through citations. Copy provided for reference.</u>								
	b. Text Continuity									
	c. Holes through Data									
	d. Other Missing Text									
	e. Illegible Text									
	f. Duplicate Text									
	g. Brief Description									
	h. Sequence Listing									
	i. Appendix									
CLAIMS	j. Amendments									
	k. Other									
RESPONSE	<u>initials N.H.</u>									
	<u>Thank you</u>									
	<u>initials EK</u>									

INFORMATION DISCLOSURE CITATION <i>(Use several sheets if necessary)</i>				Docket Number (Optional) 12591-US	Application Number 10/054,911		
APR 29 2002				Applicant(s) Siegfried Janz et al.			
				Filing Date 01/25/02	Group Art Unit 2874		
<b>U.S. PATENT DOCUMENTS</b>							
EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
<i>ek</i>		5,937,113	08/10/99	He et al.	385	11	04/17/98
<b>FOREIGN PATENT DOCUMENTS</b>							
REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
						YES	NO
<b>OTHER DOCUMENTS</b> <i>(Including Author, Title, Date, Pertinent Pages, Etc.)</i>							
<i>ek</i>		"Design, Tolerance Analysis, and Fabrication of Silicon Oxynitride Based Planar Optical Waveguides for Communication Devices", Kerstin Worhoff et al., Journal of Lightwave Technology, Vol. 17, No. 8, August 1999, pages 1401-1407.					
EXAMINER <i>ellen Kim</i>				DATE CONSIDERED <i>4/23/02</i>			
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.							

**Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.**

Substitute for form 1449B/PTO				<i>Complete If Known</i>	
				<i>Application Number</i>	10/054,911
				<i>Filing Date</i>	25 January 2002
				<i>First Named Inventor</i>	Siegfried JANZ
				<i>Art Unit</i>	2874
				<i>Examiner Name</i>	Ellen E. Kim
(Use as many sheets as necessary)					
Sheet	2	of	2	<i>Attorney Docket Number</i>	12591-US

## **NON PATENT LITERATURE DOCUMENTS**

Examiner Signature		Date Considered	4/23/0X
--------------------	---	-----------------	---------

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

**1 Applicant's unique citation designation number (optional).** **2 Applicant is to place a check mark here if English language Translation is attached.**

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

*If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.*

**Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.**

**Substitute for form 1449A/PTO**

## **INFORMATION DISCLOSURE STATEMENT BY APPLICANT**

*(Use as many sheets as necessary.)*

Prent

1

2

**Complete if Known**

Application Number	10/054,911
Filing Date	25 January 2002
First Named Inventor	Siegfried JANZ
Art Unit	2874
Examiner Name	Ellen E. Kim
Attorney Docket Number	12591-US

## **U. S. PATENT DOCUMENTS**

## **FOREIGN PATENT DOCUMENTS**

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known)				
EK		WO 01/44843 A1	06-21-2001			
EK		11109150 (Patent Abstracts of JP)	04-23-1999			

**\*EXAMINER:** Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional). 2 See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. 3 Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). 4 For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 5 Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. 6 Applicant is to place a check mark here if English language

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

**If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.**